INSTRUCTIONAL GUIDE

Office of Children's Services Program Audits
Quality Improvement Plan Action Tracker Updates

August 2023

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Purpose of the Document

The fourth and final phase of OCS' program audit engagement is the follow-up. This phase begins immediately after the final audit report has been distributed. Along with the final report, the local CSA program receives instructions to provide a quality improvement plan (QIP) addressing the observations outlined in the final report. This document should be furnished to OCS within 30 -45 calendar days of receiving the final report. The quality improvement plan should:

- describe of the task to be completed;
- identify the person(s) responsible for ensuring the task is completed; and
- establish the anticipated implementation or completion date.

Local CSA representatives are asked to monitor and periodically report to OCS the status of tasks indicated in the quality improvement plan(s). Effective with audits included in the Fiscal Year 2021 audit plan and going forward, status updates will be reported using our automated, web-based tracking tool known as "Pentana Audit Action Tracker". This resource tool promotes efficient and timely monitoring of the status of implementation of QIP tasks.

Instructions for using the Pentana Audit Action Tracker are provided in the pages that follow.

About Pentana Action Tracker

Program Auditors perform follow-up procedures to assess the audit client's progress in addressing reported deficiencies. Actions taken are typically described in the Quality Improvement Plan(s) (QIP). Upon receipt, QIPs are electronically filed for future verification. OCS' audit management tool (hereafter referred to as Pentana) is the file maintenance system used to monitor QIP status. Pentana refers to QIP tasks as "Actions."

Action Tracker is the web-based module of Pentana that allows audit clients to independently provide updates of the status of their QIPs. The Action Tracker periodically notifies the designated contact (CPMT Chair, CSA Coordinator, or CPMT Fiscal Agent) via email that a status update is due. The email includes a link to the action tracker web-module. The Action Tracker dashboard allows for easy navigation of the site where the designated local representative may then record the update.

Once an update is recorded and submitted, Program Audit Staff reviews the action update and either accepts or rejects the update. An explanation or request for additional information is provided when an update is rejected. No further action is required when the update is accepted. The action update workflow is depicted on the next page. Below is an explanation for some terminology used in the illustration:

- Staff. Refers to Program Auditors.
- Pentana Server. Refers to OCS' audit management/file maintenance tool.
- Action Owner. Refers to the audit client's designated representative.
- Actions Created. QIPs created by audit client and electronically recorded in Pentana by Program Audit staff.
- Action Updates. Refers to notice to update the status of "open" Actions; completed by the Action Owner.
- Set Status. Refers to status update provided by the action owner. Status can be set as Actioned, In-progress, Not Actioned.
- Actioned. The action task described has been completed.
- In Progress. The action task described has not yet been fully completed.
- Not Actioned. The action task described will not be completed.

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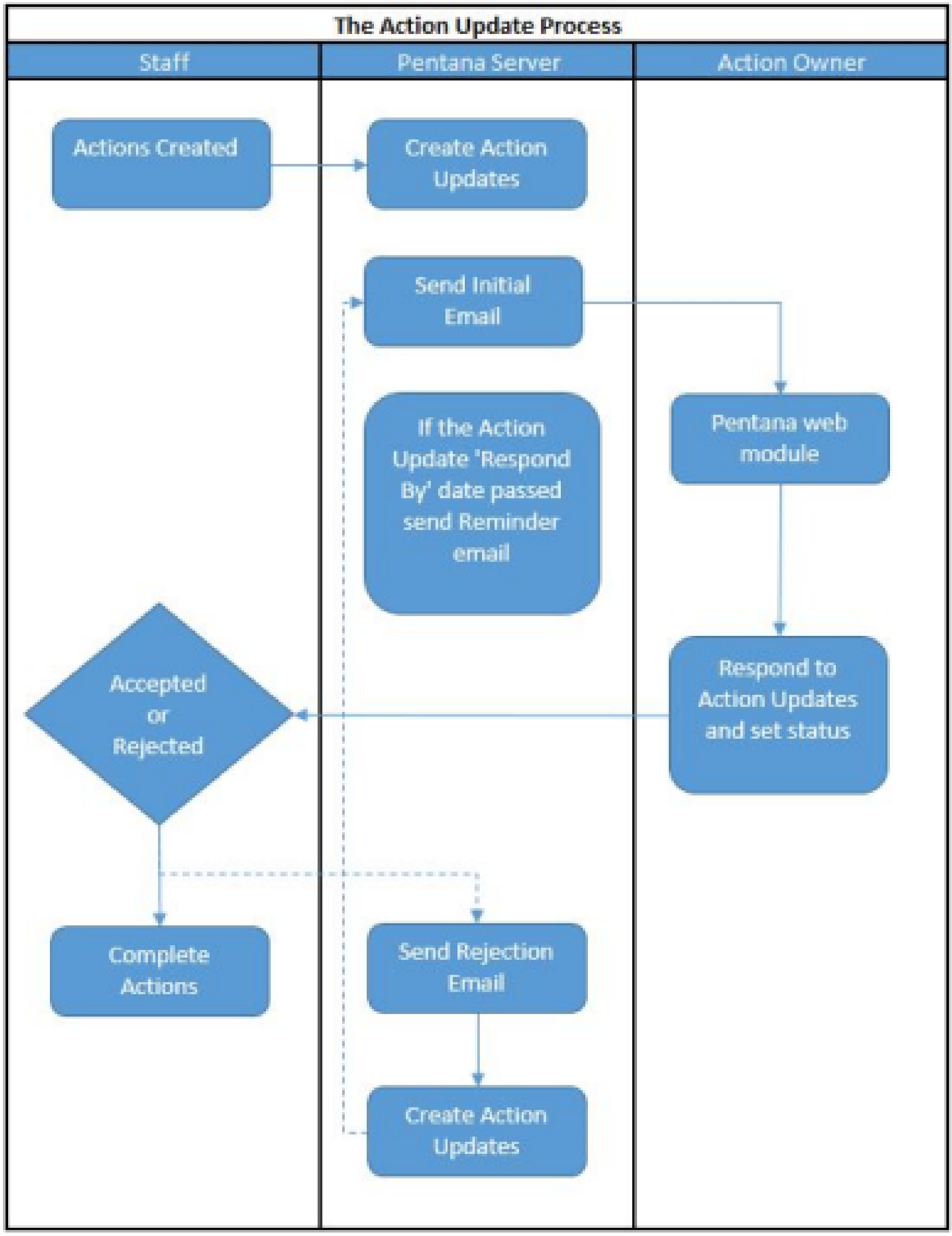
Pentana

Action Update Work Flow

The diagram below shows the normal work flow around Action Updates and has been included for information purposes only.



Confidentiality and Information Security

In accordance with CSA policies, all client-specific information shall remain confidential. Only non-identifying aggregated demographic, service, and expenditure information should be recorded in the Pentana Audit Action Tracker. Whenever documentation that includes Personally Identifiable Information (PII) is required, communication of such information shall be submitted separately from the Action Tracker web module via encrypted e-mail. Under no circumstances is it permissible to record confidential and/or sensitive information in the Pentana Audit Action Tracker.

If you need assistance securely transmitting documents containing confidential and/or sensitive information, please contact the designated auditor-in-charge. Contact information for Program Audit Staff is available on the agency's website or click the link below.

- Contact OCS

User Accounts and Passwords

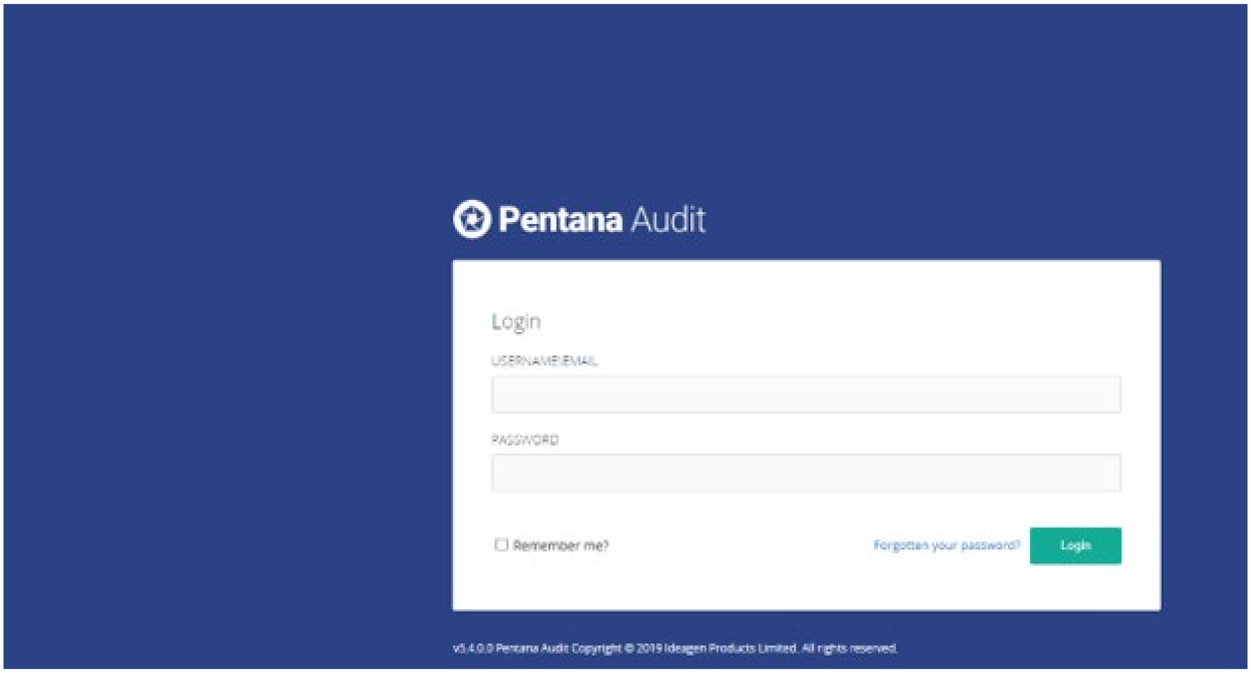
OCS audit staff create "Action Owner" user accounts. This account grants the action owner access to the Pentana Audit Action Tracker web module. User accounts are enabled once the QIP has been received and recorded electronically in Pentana.

The User Account name is the action owner's email address (unless otherwise changed by the user). The user will be directed to create their own unique password upon receiving a notice that an account has been established. If you experience technical difficulties, please contact OCS' Program Audit Manager.

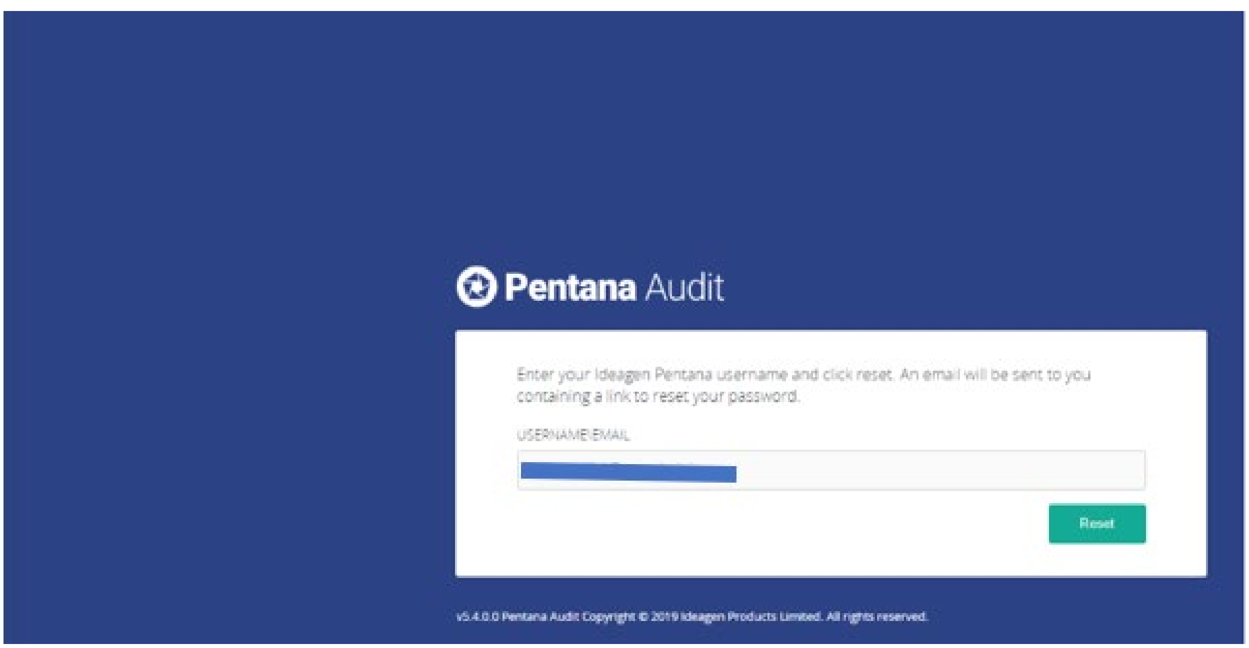
To access the Pentana Audit Action Tracker web module directly, clicking the link below will take you to the logon screen or paste the link to your web browser. Images of user log on and password reset screens are shown on the next page.

Pentana Audit Action Tracker: https://csa.audit.virginia.gov/PentanaPRD/WebUI

Pentana Audit Action Tracker Login Screen



Reset Password Link from Login Screen



New Account/Reset Password Email

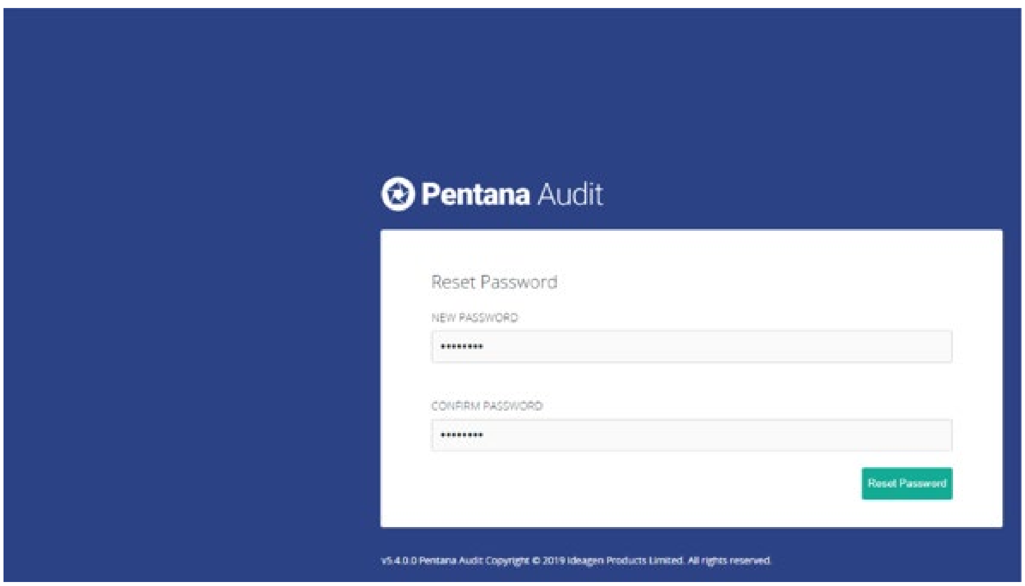
From: csa.audit@csa.virginia.gov
Date: October 5, 2021 at 4:21:03 PM EDT
To: [redacted]
Subject: Password Reset

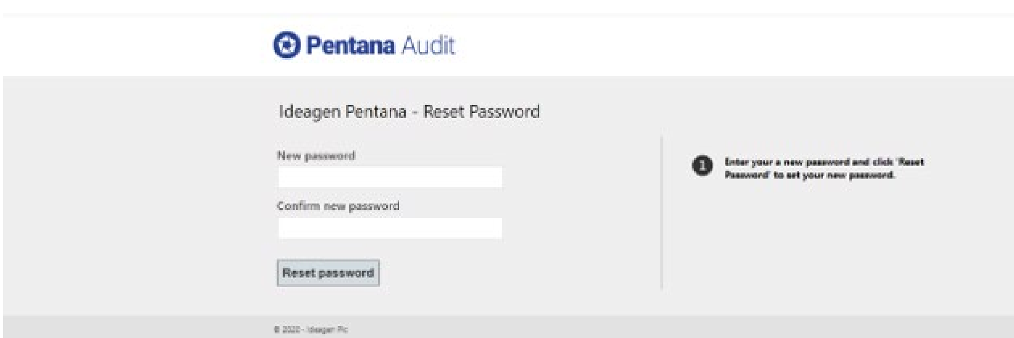
Please follow the link to reset your password:

https://wwb01865.cov.virginia.gov/PentanaUAT/FBA/Account/Account_Login.aspx?id=sbacote3@gmail.com&token=sDuPLxmk7UxZvn30q8Aacg2&type=reset

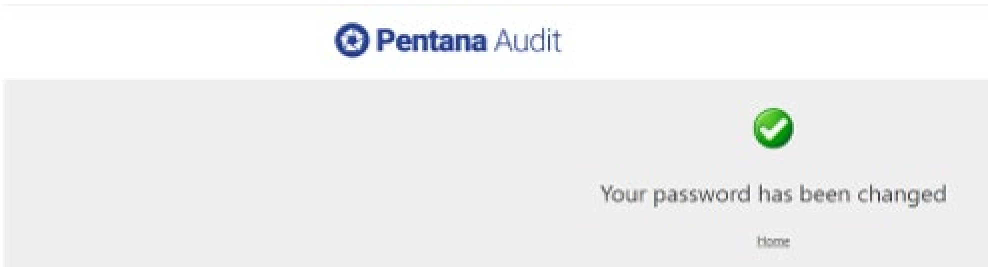
Enter and Confirm New Password

(Either screen could appear depending on or method for requesting a password reset)





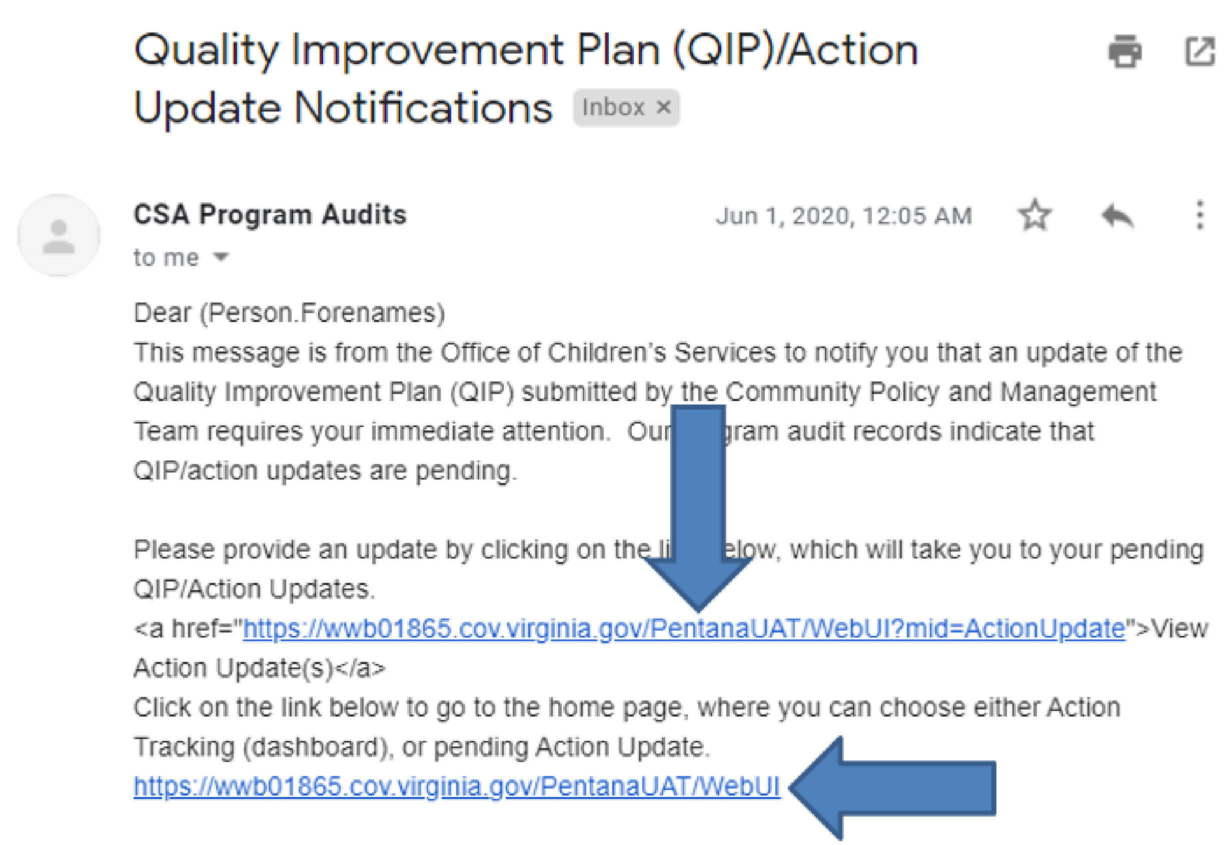
Password Reset Confirmation



Action Update Notifications

The Pentana Audit Action Tracker monitors the status of "Actions" based on the anticipated implementation/completion dates provided by the audit client. Once the due date has passed, the action tracker sends the user a notification to update the action tracker. The notification is an auto-generated email sent via the CSA Program Audits email account. Users can access the update by using links provided in email. Users will receive reminder notifications until an update is recorded.

Sample Initial Notification of Action Update Needed


Quality Improvement Plan (QIP)/Action Update Notifications Inbox ×

CSA Program Audits Jun 1, 2020, 12:05 AM

to me

Dear (Person.Forenames)

This message is from the Office of Children's Services to notify you that an update of the Quality Improvement Plan (QIP) submitted by the Community Policy and Management Team requires your immediate attention. Our gram audit records indicate that QIP/action updates are pending.

Please provide an update by clicking on the li elow, which will take you to your pending QIP/Action Updates.

View Action Update(s)

Click on the link below to go to the home page, where you can choose either Action Tracking (dashboard), or pending Action Update.

https://wwb01865.cov.virginia.gov/PentanaUAT/WebUI

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Sample Action Update Reminder Notification

From: CSA Program Audits <csa.audit@csa.virginia.gov>
Date: February 14, 2023 at 10:00:21 AM EST
To: [redacted]
Subject: Quality Improvement Plan (QIP)/Action Update Reminder

Dear Stephtest,

This is a reminder from the Virginia Office of Childrens Services that you still need to respond to the QIP/Action update given below.

1 - Test Noncompliance

Please provide an update by clicking on the link below, which will take you to your pending Action Updates.

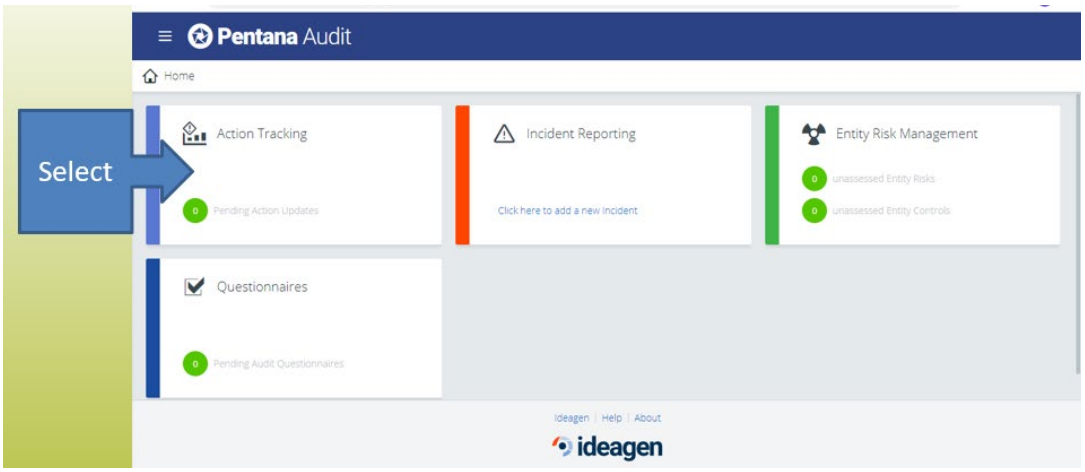
https://csa.audit.virginia.gov/PentanaPRD/WebUI

Reply Forward

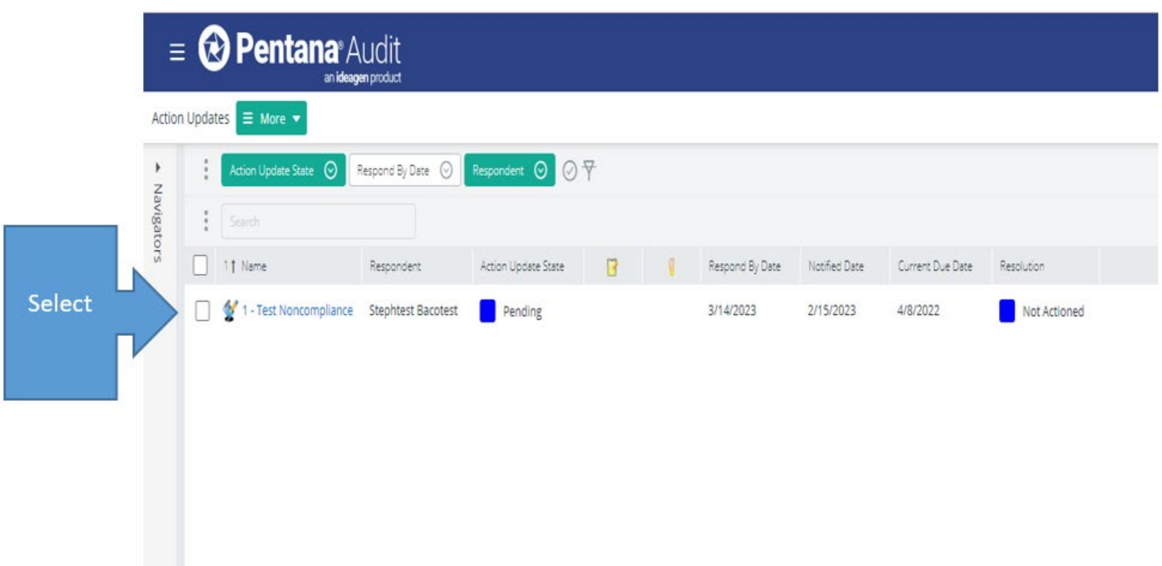
Recording Action Updates

Step 1: After clicking the link in the email, the user will be taken to the action tracker dashboard (Steps 1A) or pending QIP/Action update (Step 1B).

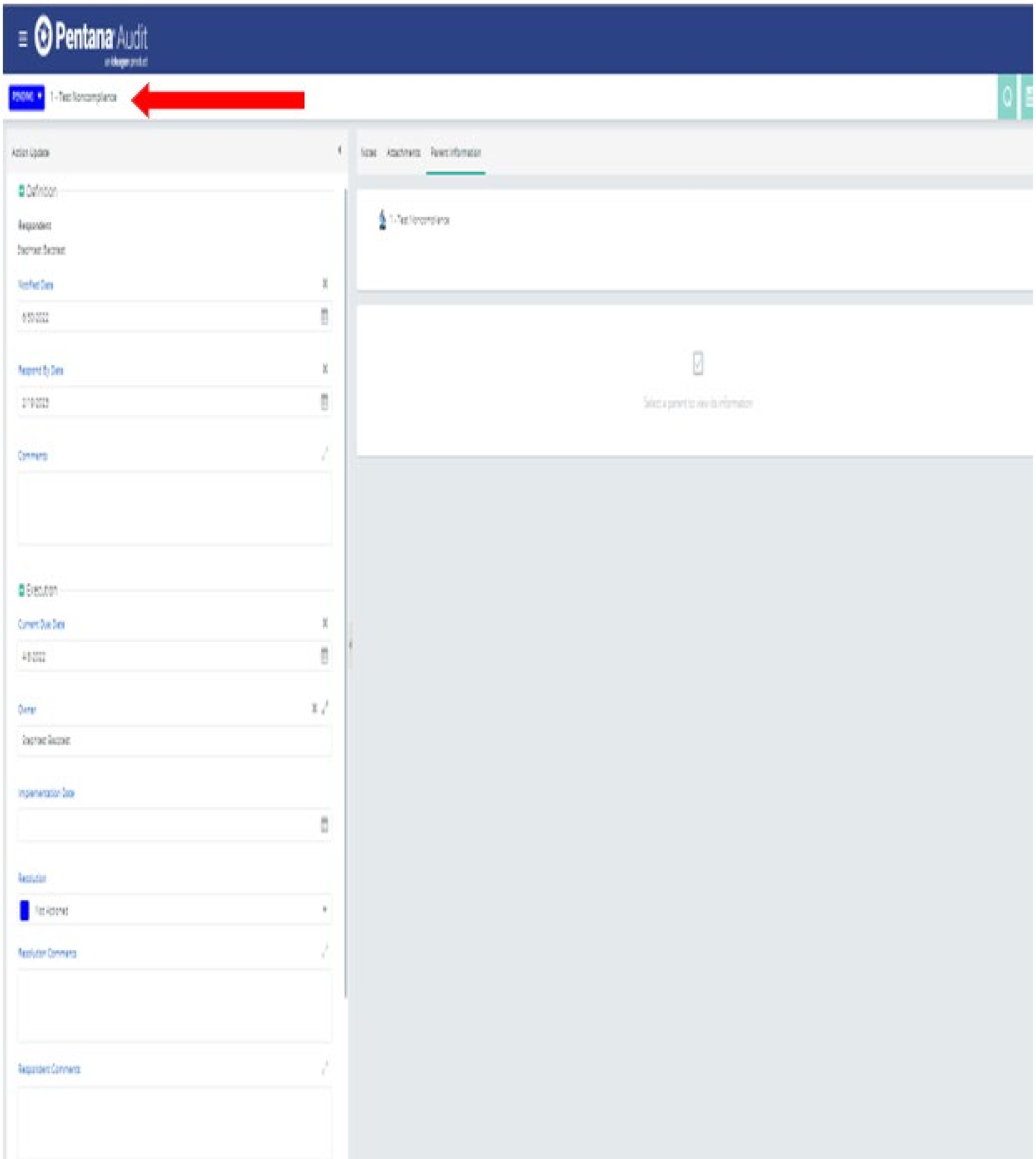
- Step 1A: From the Action Tracker Dashboard, select the tile labeled "Action Tracking" as shown below. You will notice that the bottom of the tile shows "Pending Action Updates". The number in the circle indicates the number of action updates that are pending.



- Step 1B: This link opens to a list of pending action updates. Select the action to be updated from the list.

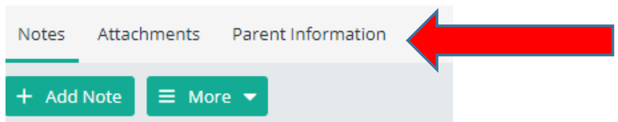


Step 2: Clicking the link for the pending action update, advances the user the action update form shown below. Note the status bar shows the action as "Pending". For the next few pages, we will navigate how to properly complete the form.

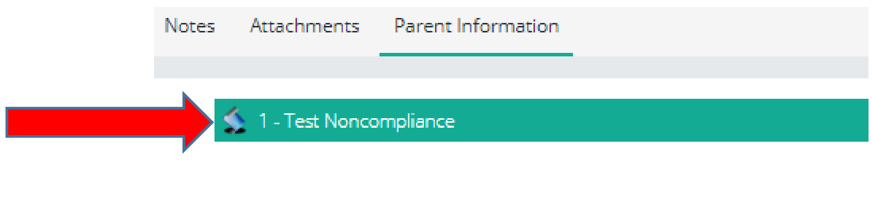


Step 3: Before you can provide an update, you must know the planned action. To access the action details. Follow steps 3A to 3D below:

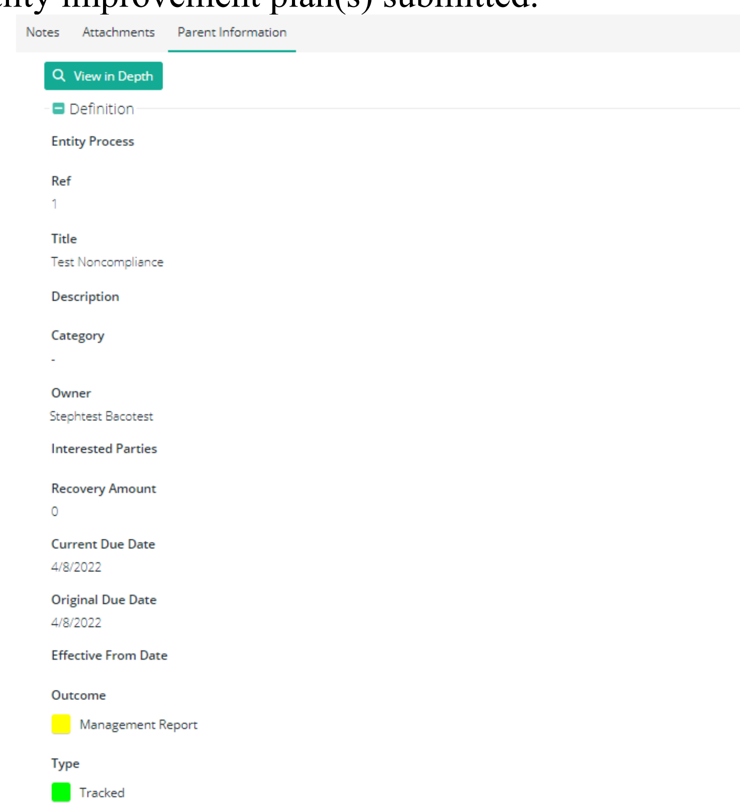
- Step 3A: Locate the menu bar on the right side of the screen and click the tab labeled “Parent Information”.



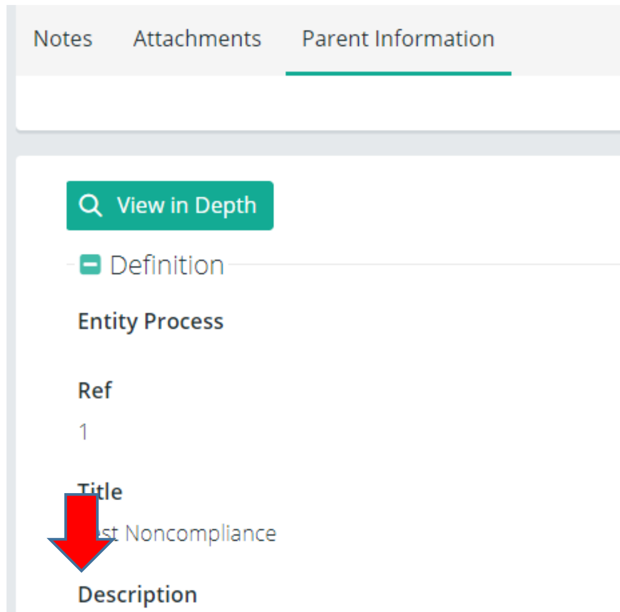
- Step 3B: After clicking “Parent Information”, a drop-down pane will appear that includes the Action.



- Step 3C: Click on the Action. Clicking the Action will reveal the Action details. The fields in this pane were pre-filled with the information contained in the quality improvement plan(s) submitted.



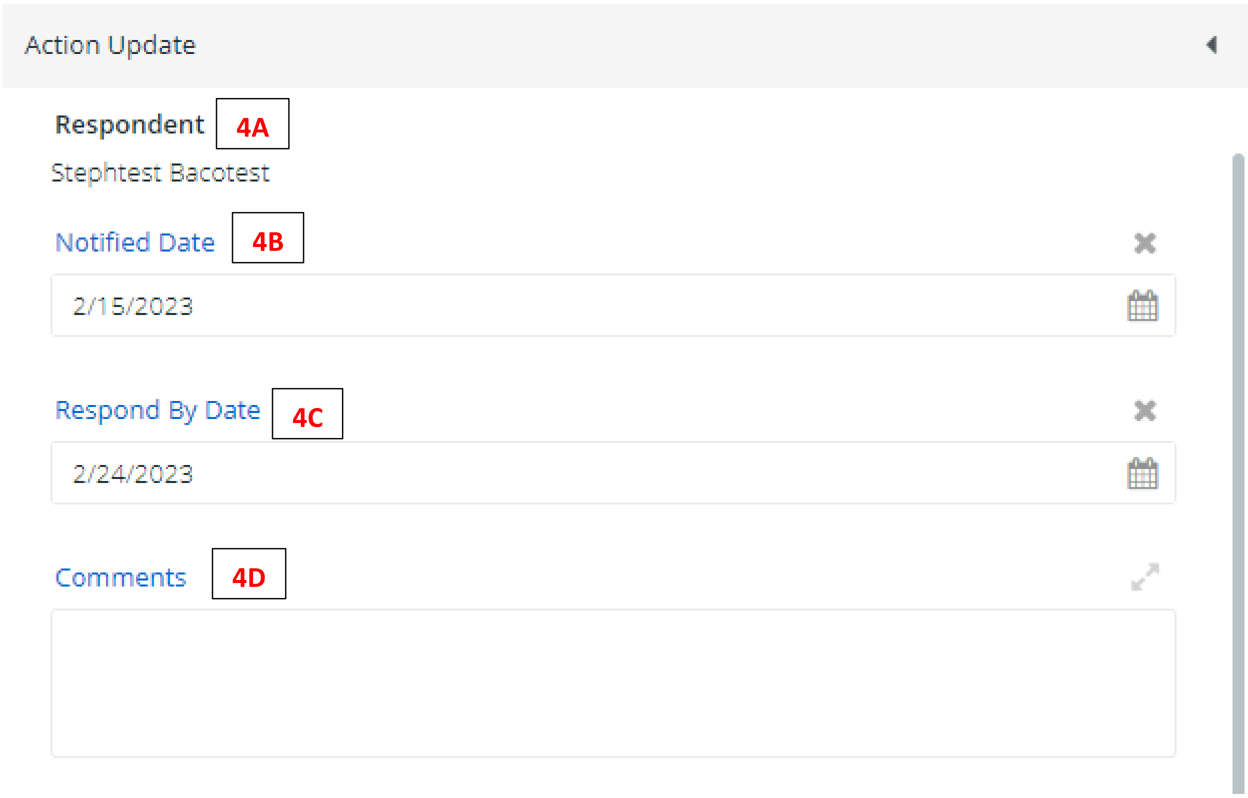
- Step 3D: Review the data field labeled "Description". This field represents the details of the action tasks that have been identified to address deficiencies that were communicated in the final audit report. The update provided will be based on the current status/outcome of the stated action.



Step 4. Complete the Action Update Form. The form consists of the data fields on the left side of the screen. Steps 4A through 4X will breakdown each of the fields on this form.

- Steps 4A through 4C - Respondent. **DO NOT** alter these data fields. This information is system generated by the action tracker.
    - Step 4A: Respondent. This is the Action Owner.
    - Step 4B: Notified Date. Email notification to Action Owner.
    - Step 4C: Respond by Date. Due date to complete action update.

- Step 4D – Respondent/Comments. Use this data field to provide an update regarding the Action Owner, interested parties (i.e., CSA Coordinator, CPMT Chair, Fiscal Agent, etc.), or questions/concerns regarding the respond by date.



- Steps 4E through 4J – Execution.
  - Step 4E: Current Due Date. The date shown is the initial implementation due date. You may update this field with a new date if the target date for implementing/completing the action task has changed.
  - Step 4F: Owner. This is the Action Owner. Update this field whenever there is a change in the Action Owner. The Action Owner can only be one of three designated contacts (CSA Coordinator, CPMT Chair, or Fiscal Agent). Clicking the data field will open a dialog box to display the names of individuals that can be named as the Action Owner.
  - Step 4G: Implementation Date. Record the date that the action task was deemed completed.

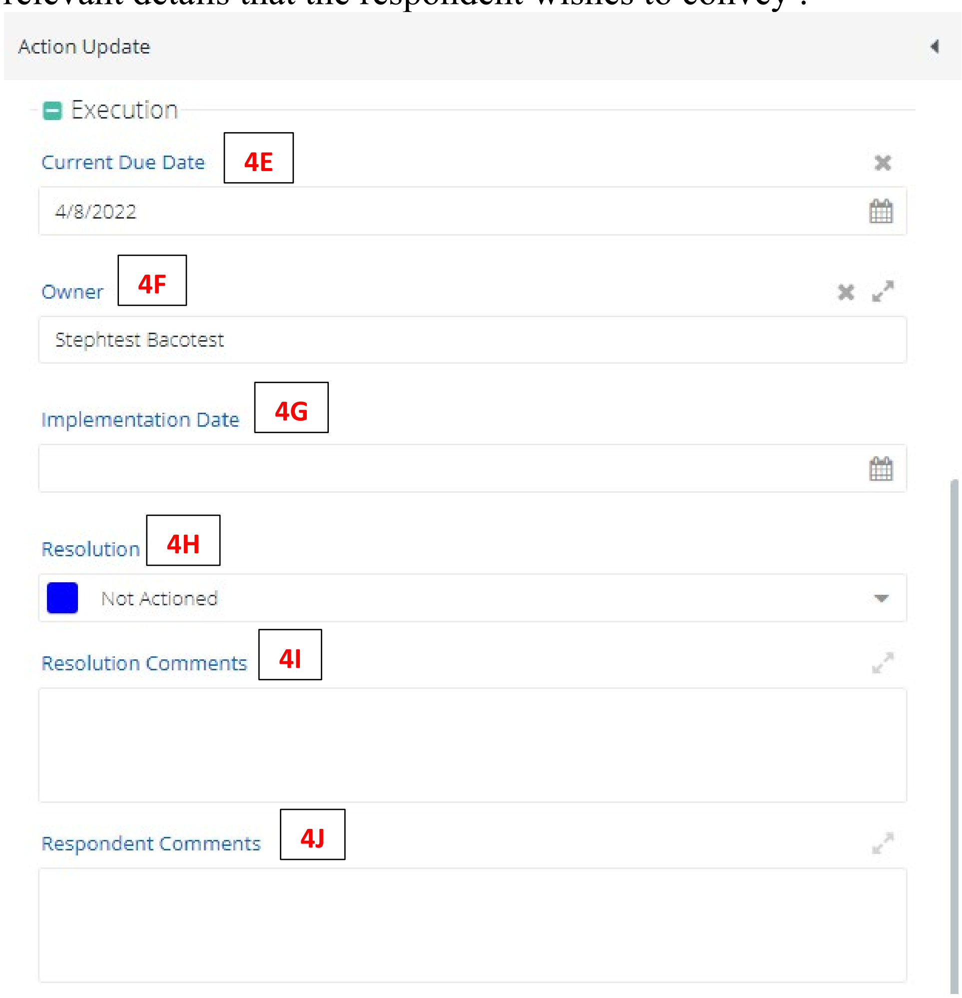
- Step 4H: Resolution. Click the data field or drop-down arrow to select one of three options:

    - Not Actioned. The action task has not been started.
    - In Progress. The task has been started but is not yet complete.
    - Actioned. The task has been completed.

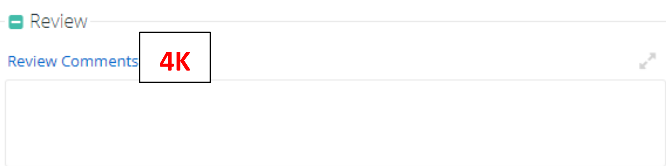
  The drop down lists three other options. DO NOT select any of those options. For OCS status updates, the ONLY acceptable options are noted above.

- Step 4I: Resolution Comments. Use this field to provide an explanation to support the resolution status.

- Step 4J: Respondent Comments. Use this field to provide any pertinent, relevant details that the respondent wishes to convey .

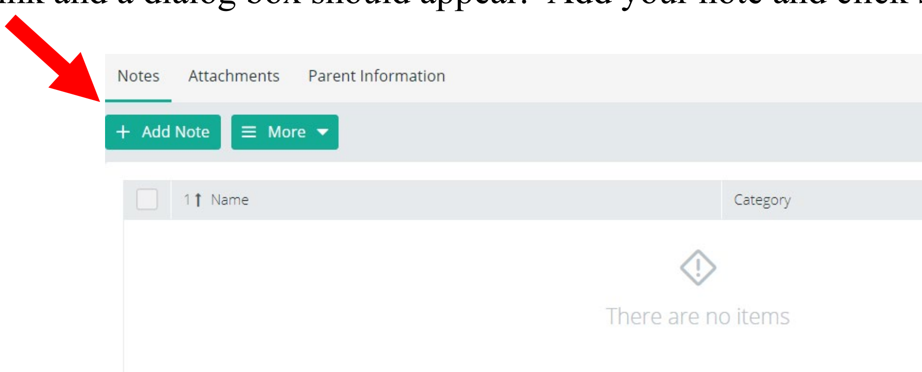


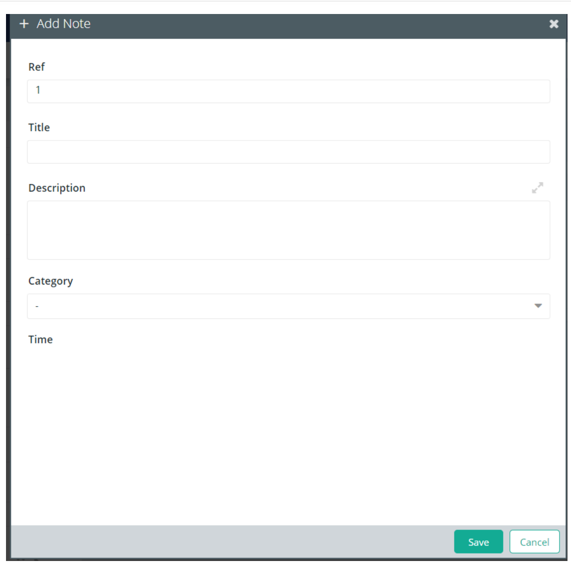
Step 4K – Review . **DO NOT** alter these data fields. This data field will be updated by the auditor-in-charge responsible for reviewing the action update once submitted.



Step 5: This step is OPTIONAL. If you have documents you wish to provide to confirm actions have been completed or notes for future reference, you may do so using the menu bar to the right of the screen. See Steps 5A and 5B for additional instructions.

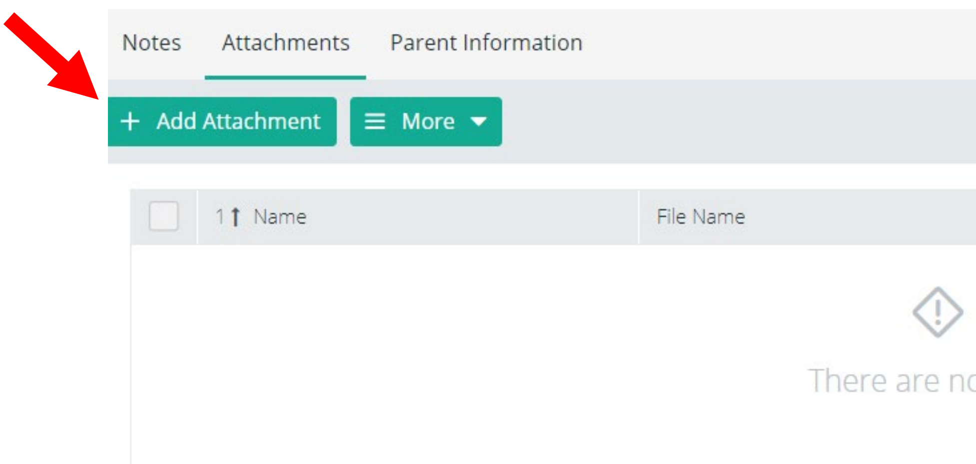
- Step 5A: Notes. Locate the menu bar on the right side of the screen and click the tab labeled "Notes". The sub menu "Add Note" should appear. Click the link and a dialog box should appear. Add your note and click save.

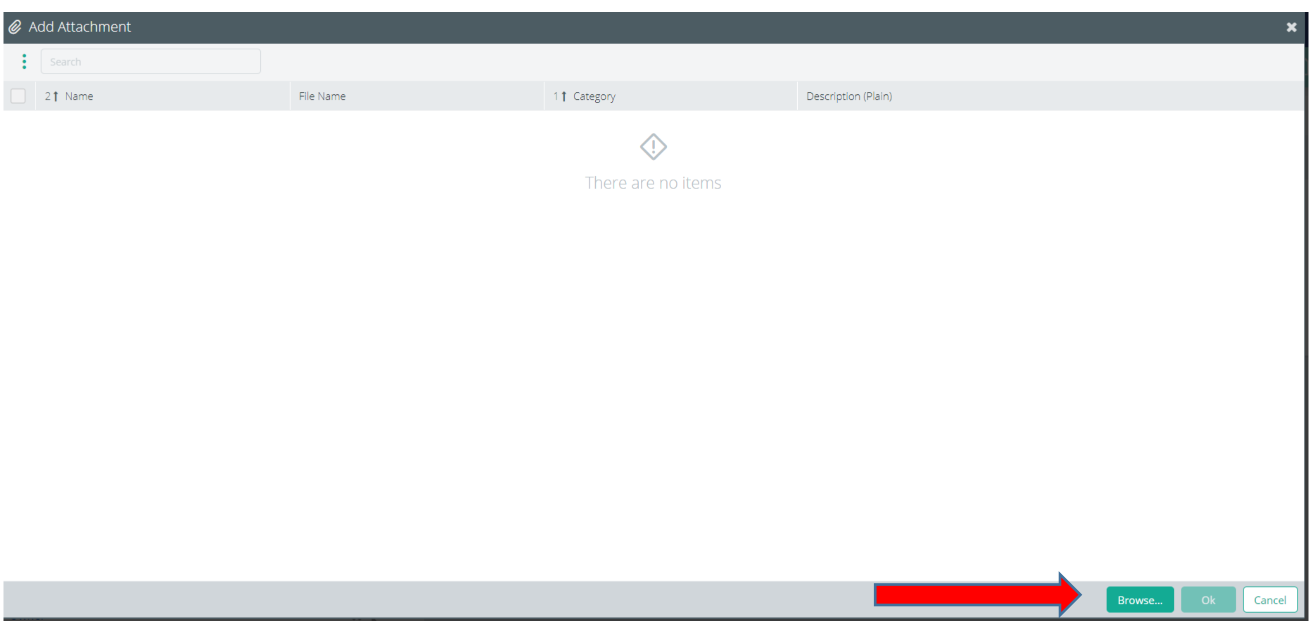




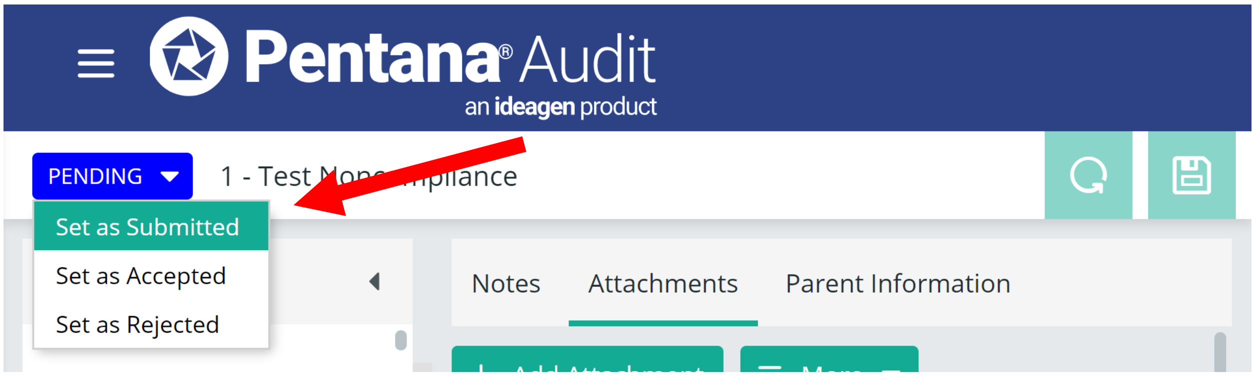
- Step 5B: Attachments. Locate the menu bar on the right side of the screen and click the tab labeled “Attachment”. The sub menu “Add Attachment” should appear. Click the link and a dialog box should appear. Click the link to “Browse” and locate the document to be attached. Attach and click save.

IMPORTANT: DO NOT ATTACH ANY DOCUMENTS CONTAINING PERSONALLY IDENTIFIABLE INFORMATION (PII)!!!!!!





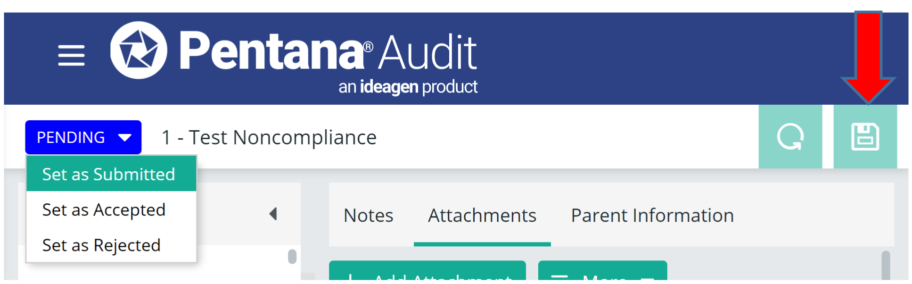
Step 6: Review and submit the action update. From menu bar, the locate the tab labeled “Pending”. Clicking the Pending tab will produce a drop-down menu with three options. Choose the option “Set as Submitted”.



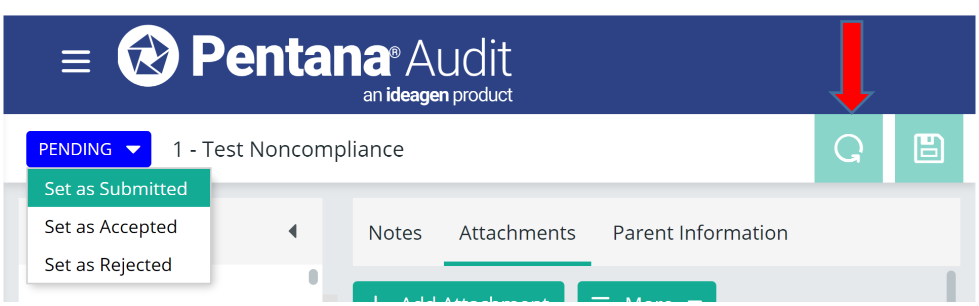
Congratulations! You have added the QIP/Action Update.

WHAT IF…..

If you are not ready to submit your action update, you can save your changes until you are ready. Simply click the “floppy disk” icon on the right side of the navigation bar.



If you have not already submitted the update and prefer to cancel the edits made since your last save, click the cancel icon on the right side of the menu bar.



What Happens Next………

Once an update is recorded and submitted, Program Audit Staff review the action update and either accepts or rejects the update. An email notification is issued indicating the update has been rejected. It includes a link to the action update that includes the reviewer's comments/explanation or request for additional information. No further action is required when the update is accepted. Users can log onto the dashboard at any time to check the status of their action updates. A recap of the action update process flow is depicted below.